



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	Steven J. Baumgartner	:	Date: November 5, 2003
Group Art Unit:	2631	:	IBM Corporation
Examiner:	Unassigned	:	Intellectual Property Law
Serial No.:	10/631,922	:	Dept. 917, Bldg. 006-1
Filed:	July 31, 2003	:	3605 Highway 52 North
Title:	SPEED NEGOTIATION FOR SERIAL TRANSCEIVERS		Rochester, MN 55901

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

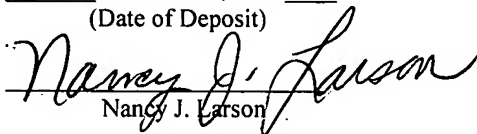
Serial No. 10/631,922  
Docket No. ROC920000044US2

To the best knowledge of the undersigned, this Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(3) before the mailing of a first Office action on the merits in the present application. Accordingly no filing fee is required.

Date: November 5, 2003

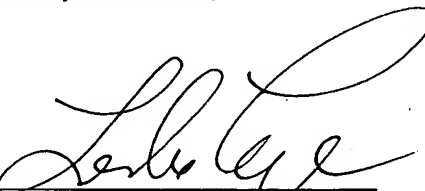
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450, on

November 5, 2003  
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Nancy J. Larson

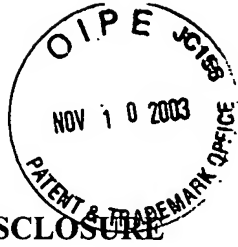
Respectfully submitted,

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PTO/SB/08A

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**Sheet 1 of 1

Application Number.: 10/631,922  
 Filing Date: July 31, 2003  
 First Named Inventor: Baumgartner  
 Art Unit: 2631  
 Examiner Name: Unassigned  
 Attorney Docket Number.: ROC920000044US2

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
		US - 5008902A	04/16/1991	Gary R. Key et al	
		US - 5901191A	05/04/1999	Yoshiaki Ohno	
		US - 5982837A	11/09/1999	Tim Earnest	
		US - 6072827A	06/06/2000	Darrell Krulce	
		US - 6097754A	08/01/2000	Kenneth D. Fitch et al	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document Country <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T <sup>6</sup>

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language translation is attached.